Please type a plus sign (+) inside this box → [+]

PTO/SB/05 (11-00)
Approved for use through 10/31/2002   OMB 0651-0032
U S Patent and Trademark Office   U S DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	03345-P0017A
First Inventor	Michael Heuken, *et al.*
Title	Method And System For Semiconductor Crystal Production With Temperature Management
Express Mail Label No.	EL 574 209 951 US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form *(e.g., PTO/SB/17)* *(Submit an original and a duplicate for fee processing)*

2. ☐ Applicant claims small entity status See 37 CFR 1.27.

3. ☒ Specification   [Total Pages **19**]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings *(if filed)*
- Detailed Description
- Claims(s)
- Abstract of the Disclosure

4. ☒ Drawings(s) *(35 USC 113)*   [Total Sheets **11**]

5. ☐ Oath or Declaration   [Total Pages **0**]

  a ☐ New executed (original or copy)

  b. ☐ Copy from prior application (37 CFR 1.63(d)) *(for continuation/divisional with Box 18 completed)*

    ☐ DELETION OF INVENTOR(S) Signed statement attached deleting inventors(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program *(Appendix)*

8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*

  a. ☐ Computer Readable Form (CRF)

  b.: Specification Sequence Listing on:
    i. ☐ CD-ROM or CD-R (2 copies); or
    ii. ☐ paper

  c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*   ☐ Power of Attorney

11. ☐ English Translation Document *(if applicable)*

12. ☐ Information Disclosure Statement (IDS)/PTO-1449   ☐ Copies of IDS Citations

13. ☒ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 of its equivalent.

17. ☒ Other: PCT/DE99/03863 Cover Sheet   DE19855637.3   Cover Sheet

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18. If a CONTINUING APPLICATION, *check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1 76*·

☒ Continuation   ☐ Divisional   ☐ Continuation-in-part   of prior application No.. PCT/DE99/03863 filed Dec. 2, 1999

Prior application information Examiner Group/Art Unit·   Priority: DE19855637.3 filed Dec. 2, 1998

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label   **24126**   ☒ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name	Wesley W. Whitmyer, Jr.				
Address	St.Onge Steward Johnston & Reens LLC 986 Bedford Street				
City	Stamford	*State*	CT	*Zip Code*	06905-5619
Country	United States	*Telephone*	203 324-6155	*Fax*	203 327-1096

Name (Print/Type)	Wesley W. Whitmyer, Jr.	Registration No. (Attorney/Agent)	33,558
Signature		Date	6/1/01

PTO/SB/17 (11-00)
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FEE TRANSMITTAL
for FY 2001

Patent fees are subject to annual revision

Complete if Known	
Application No.	- Pending
Filing Date	June 1, 2001
First Named Inventor	Michael Heuken, *et al.*
Examiner Name	
Group Art Unit	

TOTAL AMOUNT OF PAYMENT	($) 710.00	Attorney Docket Number	03345-P0017A WWW

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payment to

Deposit Account Number: **19-4516**

Deposit Account Name: **St.Onge Steward Johnston & Reens LLC**

☒ Charge Any Additional Fee Required Under CFR 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed
☒ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee ($)	Small Fee Code	Entity Fee ($)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
				SUBTOTAL (1) ($)	710.00

2. EXTRA CLAIMS FEES

		Extra Claims	Fee from Below		Fee Paid
Total Claims	18	-20**= 0	X	=	
Independent Claims	2	- 3** = 0	X	=	
Multiple Dependent		0	X	=	

Large Fee Code	Entity Fee ($)	Small Fee Code	Entity Fee ($)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claims, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

** or number previously paid, if greater; For Reissues, see above

SUBTOTAL (2)	($)	-0-

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee ($)	Small Fee Code	Entity Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge – late filing for or oath	
127	50	227	25	Surcharge – late provisional filing or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for *ex parte* reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840	Requesting publication of SIR after Examiner Action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive – unavoidable	
141	1,240	241	620	Petition to revive – unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	240	126	240	Submission of Informational Disclosure Stmt	
581	40	581	40	Recording each patent assignment per Property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37(CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)_____

* Reduced by Basic Filing Fee paid

SUBTOTAL (3)	($)	-0-

SUBMITTED BY	St.Onge Steward Johnston & Reens LLC			Complete (if applicable)	
Name (Print Type)	Wesley W. Whitmyer, Jr.	Registration No (Attorney/Agent)	33,558	Telephone	203 324-6155
Signature				Date	6/1/01

Express Mail No. EL 574 209 951 US